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Estimates in respect of special political missions, good offices and other political initiatives authorized by the General Assembly and/or the Security Council

Office of the Special Adviser to the Secretary-General on Yemen
Office of the Special Envoy of the Secretary-General for the Sahel
Panel of Experts on Yemen

Report of the Secretary-General

Summary

The present report contains the proposed additional resource requirements for 2014 for the Office of the Special Adviser to the Secretary-General on Yemen, and the 2014 resource requirements for the newly established Panel of Experts on Yemen, in an amount totalling $3,940,500 net ($4,148,000 gross), as well as an update on the leadership of the Office of the Special Envoy of the Secretary-General for the Sahel.

These requirements relate to the Office of the Special Adviser to the Secretary-General on Yemen arising from the security risk assessment and recommendations of the Department of Safety and Security concerning that Office and the Panel of Experts on Yemen established by Security Council resolution 2140 (2014).

The General Assembly is requested to take note of the report, approve a total amount of $3,940,500 (net of staff assessment), and to approve charging the same amount against the provision for special political missions appropriated under section 3, Political affairs, of the programme budget for the biennium 2014-2015.

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I. Special political missions

A. Office of the Special Adviser to the Secretary-General on Yemen

($1,493,100)

Background, mandate and objective

1. The Security Council has closely monitored the situation in Yemen since the beginning of the uprising in early 2011. In its resolution 2014 (2011), the Council called for a political settlement and requested the Secretary-General to continue his good offices, including through visits by the Special Adviser. On 12 June 2012, the Security Council unanimously adopted resolution 2051 (2012), in which it reaffirmed the need for the full and timely implementation of the Transition Agreement in accordance with resolution 2014 (2011). Regular briefings to the Security Council on Yemen will continue in accordance with the current 60-day reporting cycle established by the Council in its resolution 2051 (2012). Also in the resolution, the Council requested the Secretary-General to continue his good offices, including through the efforts of his Special Adviser. The Council further welcomed the political engagement of the United Nations through a small presence in Yemen, consisting of a team of experts to support the implementation of the transition process, and to provide advice to the parties in conjunction with the Government of Yemen, in particular in support of the national dialogue process. It also requested the Secretary-General to continue to coordinate assistance from the international community in this regard.

2. In an effort to ensure the full and effective implementation of Security Council resolutions 2014 (2011) and 2051 (2012) and the Transition Agreement, in which the Yemeni sides requested the Secretary-General to, inter alia, provide continuous assistance, in cooperation with other entities, for the implementation of the agreement, including through the coordination of assistance from the international community, the Secretary-General established the Office of the Special Adviser to the Secretary-General on Yemen in accordance with an exchange of letters with the President of the Security Council in June 2012 (S/2012/469 and S/2012/470). The Office has the following main functions:

(a) Provision of good offices to continue supporting the political transition in Yemen in accordance with the November 2011 Transition Agreement and Security Council resolutions 2014 (2011) and 2051 (2012) and engagement with all sides in Yemen, including the Government of National Unity, other political parties, civil society organizations, women, youth and other actors in support of an inclusive Yemeni-led transition;

(b) Leading United Nations support to the National Dialogue Conference and coordinating international assistance to the Conference;

(c) Leading United Nations efforts providing support for other transition steps, including the constitutional review, constitutional referendum and new general elections in 2014;

(d) Working closely with the members of the Security Council, the Gulf Cooperation Council and other international partners;

(e) Supporting the Secretary-General's ongoing reporting obligations to the Security Council in the context of resolutions 2014 (2011) and 2051 (2012).

3. The mission is headed by the Special Adviser to the Secretary-General on Yemen, who will continue to exercise the Secretary-General's good offices role, including through regular and frequent visits to Yemen to engage closely with all Yemeni sides.

4. In its resolution 2140 (2014), the Security Council reaffirmed the need for the full implementation of the political transition, in accordance with resolutions 2014 (2011) and 2051 (2012). It requested the Secretary-General to continue his good offices role, noted with appreciation the work of the Special Adviser, Jamal Benomar, stressed the importance of their close coordination with international partners, including the Gulf Cooperation Council, Group of Ten ambassadors, and other actors, in order to contribute to the successful transition, and in that regard, further requested the Secretary-General to continue to coordinate assistance from the international community in support of the transition. The Security Council also requested the Secretary-General to continue to report on developments in Yemen, including on the implementation of the outcome of the comprehensive National Dialogue Conference, every 60 days.

5. By its resolution 68/247, the General Assembly approved, inter alia, a budget of $4,091,600 net of staff assessment for the Office for the year 2014. The present report is being submitted to seek additional resource requirements that have arisen subsequent to the security risk assessment and recommendations of the Department of Safety and Security, as detailed in the following paragraphs.

Revised planning assumptions

6. The Department of Safety and Security conducted a security risk assessment in March 2014 and recommended additional security measures to mitigate increasing risks to the Special Adviser. The overall security situation remains tense and volatile in many parts of Yemen. As a result, the security risk assessments change on a daily basis, owing to the high level of threat. The Special Adviser's travel patterns include travel to Yemen, almost every month, for two to three weeks at a time. His movement within Yemen is not limited to Sana'a, although it is largely confined to the capital. The Special Adviser is required to meet with a substantial number of political actors across the political spectrum. The unpredictable requirements for the travel of the Special Adviser in response to requests by local stakeholders are often decided at short notice and necessitate a dedicated security presence in the country to support the security management, planning and coordination requirements for office security and close protection operations. This needs to be maintained in Yemen prior to arrival of the Special Adviser, throughout the missions, and further into longer-term planning and preparation. This need is magnified by the fact that there is no close protection team currently based in Yemen. Such teams are made up of available security officers who can be reassigned from other United Nations offices at short notice, to complement the three existing security positions of the Office (2 Security Officer, Field Service and 1 Security Assistant, Local level). The frequency of the missions by the Special Adviser has also had an impact on the capabilities of the Department of Safety and Security team in the country to cover other security-related issues for agencies, funds and programmes operating in Yemen.

7. In order to mitigate the increasing risks, the Department of Safety and Security recommends that a full-time dedicated Chief Security Officer and close protection team be established and based in Yemen. With the establishment of the Panel of Experts on Yemen pursuant to Security Council resolution 2140 (2014), the close protection team of the Office will also supplement the Panel's close protection team, as required, when the Special Adviser is not in Yemen.

Table 1
Resource requirements

(Thousands of United States dollars)

Category of expenditure	*Initial appropriation for 2014* (1)	*Additional requirements* (2)	*Non-recurrent requirements* (3)	*Total requirements for 2014* (4)=(1)+(2)
Civilian personnel cost	2 183.7	902.4	–	3 086.1
Operational costs	1 907.9	590.7	446.6	2 498.6
Total requirements	**4 091.6**	**1 493.1**	**446.6**	**5 584.7**

8. The estimated additional requirements for 2014 amount to $1,493,100 net ($1,637,700 gross). These resources would provide for international staff ($794,200), national staff ($108,200), facilities and infrastructure ($404,500), ground transportation ($40,000), communications ($82,200), information technology ($49,200), and other supplies, services and equipment ($50,100), and are partially offset by a reduction in the existing provision under official travel in the amount of $35,300.

Table 2
Positions

	Professional and higher categories									*General Service and related categories*			*National staff*			
	USG	*ASG*	*D-2*	*D-1*	*P-5*	*P-4*	*P-3*	*P-2*	***Subtotal***	*Field Service*	*General Service*	***Total international***	*National Professional Officers*	*Local level*	*United Nations Volunteers*	***Total***
Approved 2014	–	1	–	1	2	2	2	–	**8**	2	1	**11**	1	6	–	**18**
Proposed revised staffing level	–	1	–	1	2	2	3	–	**9**	12	1	**22**	1	10	–	**33**
Change	–	–	–	–	–	–	1	–	**1**	**10**	–	**11**	–	4	–	**15**

9. Proposed changes to the number and level of positions include the abolishment of one Field Service position (1 Security Officer, Field Service) in lieu of a new P-3 Chief Security Officer, 11 new Field Service positions, comprising 1 Administrative Officer and 10 Close Protection Officers, and four new Local level positions, comprising one Finance and Budget Assistant, one Logistics Assistants and two Drivers.

Extrabudgetary resources

10. In 2013, extrabudgetary resources estimated at $766,800 were utilized to support the Office of the Special Adviser in different activities, including legal and substantive expertise, mediation/facilitation and technical assistance activities aimed at supporting the political transition, including follow-up of the national dialogue process and the constitution-making process. For 2014, extrabudgetary resources are still being sought from donors. Thus far an amount of $192,300 in extrabudgetary resources under the Trust Fund in Support of Political Affairs is being used for two projects, one to support the National Dialogue process in Yemen and the other to strengthen the administrative support for the Office.

B. Office of the Special Envoy of the Secretary-General for the Sahel

11. The present report is prepared pursuant to General Assembly resolution 68/247 (sect. VI, para. 6), in which the Assembly requested the Secretary-General to review the appropriate level of leadership arrangements for the Office of the Special Envoy of the Secretary-General for the Sahel, taking into account the importance of successful implementation of the United Nations integrated strategy for the Sahel, and to report thereon to the Assembly at the second part of its resumed sixty-eighth session.

12. In September 2012, the Secretary-General hosted a meeting of Member States focused on bringing attention to the deteriorating humanitarian and security situation in the Sahel region. There was broad agreement among Member States, including members of the Security Council, that the situation in the Sahel posed a threat to international peace and security and must be addressed in a comprehensive manner. Accordingly, in October 2012 the Secretary-General appointed a Special Envoy for the Sahel to develop and oversee the implementation of an integrated strategy for addressing the root causes of insecurity in the region, particularly under the four pillars of security, governance, humanitarian aid and development. In its resolution 2071 (2012), the Security Council welcomed the appointment of the Special Envoy, stating that he should mobilize international efforts for the Sahel, coordinate the implementation of the United Nations integrated strategy on the Sahel and engage actively in defining the parameters of a comprehensive solution to the Malian crisis.

13. As requested by the Security Council in its resolution 2056 (2012), the United Nations has developed a strategy aimed at supporting the Governments and people of the region to address the causes of instability within a sustainable and long-term perspective. The Special Envoy briefed the Security Council on 26 June 2013 and presented the report of the Secretary-General (S/2013/354) on the situation in the Sahel region, which received support from the Council. Through a statement by the President of the Security Council dated 16 July 2013 (S/PRST/2013/10), the Council welcomed the proposal for a coordination mechanism as well as the specific objectives and indicative actions of the United Nations Integrated Strategy for the Sahel under its three strategic goals.

14. On 1 January 2014, after extensive consultations with Member States, the Secretary-General relocated the Office of the Special Envoy from Rome to Dakar to be co-located with the Office of the Special Representative of the Secretary-General for West Africa. As anticipated, the move has allowed the United Nations system to

anchor the implementation of the integrated strategy for the Sahel in the region and to take advantage of the existing United Nations presence in Dakar to create economies of scale and synergies among implementing partners. During the month of January 2014, the Special Envoy, Romano Prodi, continued to galvanize international support, targeting underfunded regional infrastructure projects in the Sahel region.

15. Upon conclusion of the tenure of Mr. Prodi as Special Envoy, the responsibility for the implementation of the United Nations integrated strategy for the Sahel was entrusted to the United Nations system in the region, by placing the Office of the Special Envoy under the overall authority of the Special Representative of the Secretary-General for West Africa. For the purposes of the implementation of the integrated strategy, the Secretary-General has asked his Special Representative for West Africa, Said Djinnit, to engage with all the countries of the Sahel region, in line with the geographical scope that was described in the report of the Secretary-General to the Security Council (S/2013/354). On 24 January, the Secretary-General wrote to the President of the Security Council to inform him of the change in leadership of the Office of the Special Envoy (S/2014/51). A hand-over meeting from the Special Envoy to the Special Representative was organized on 17 February 2014 in Dakar, in order to ensure continued leadership.

16. The Special Representative of the Secretary-General for West Africa has already demonstrated effective leadership in overseeing the implementation of the United Nations integrated strategy for the Sahel. Under his guidance, an internal coordination mechanism was established in Dakar. Three thematic working groups are planning regional activities in the areas of governance, security and resilience, while the Special Representative is chairing a steering committee that provides overall guidance to these working groups. A series of country-specific and regional project proposals have been identified and will be validated by Sahelian countries during a consultative meeting organized by the Special Representative, to be held on 9 April 2014 in Nouakchott.

17. Recruitment for the Special Envoy and Head of the Office of the Special Envoy at the Assistant Secretary-General level is in its final stages. Upon selection, the Special Envoy and Head of Office will oversee the daily work related to the implementation of the United Nations integrated strategy for the Sahel, engage, as appropriate, with senior United Nations and non-United Nations actors, and provide political and strategic advice to the Special Representative for West Africa. In particular, under the guidance of the Special Representative the Special Envoy and Head of Office will lead the coordination of United Nations efforts in the region, especially focusing on governance, security and resilience, utilizing the United Nations coordination mechanism. He or she will focus on setting up benchmarks for monitoring the implementation of the integrated strategy, in close collaboration with the United Nations system in the region, including the regional coordinators. The Special Envoy and Head of Office will give equal attention to a number of other tasks, including proactive collaboration with the Ministerial Coordination Platform for the Sahel, co-chairing, with the African Union, the Technical Secretariat of the Coordination Platform, strengthening the partnership between the United Nations and international financial institutions and overseeing the drafting of a comprehensive report to the Security Council, as well as maintaining contacts with

countries of the region, members of the Council, bilateral and multilateral donors and relevant United Nations entities.

18. Taking into consideration the nature of the tasks presented above, the Secretary-General would like to recommend maintaining the position of the Special Envoy and Head of Office at the Assistant Secretary-General level, under the overall authority of the Special Representative of the Secretary-General for West Africa. This will ensure senior guidance and political engagement at all levels required for the implementation of the strategy.

C. Panel of Experts on Yemen

($2,447,400)

Background, mandate and objective

19. The Panel of Experts on Yemen was established by the Security Council in its resolution 2140 (2014), in which the Council requested the Secretary-General to create, for an initial period of 13 months, a group of up to four experts ("Panel of Experts"), under the direction of the Committee established in the same resolution. The sanctions regime that the Panel will monitor consists of an assets freeze and a travel ban. The mandate of the Panel includes the following tasks:

(a) Assist the Committee in carrying out its mandate as specified in Security Council resolution 2140 (2014), including through providing the Committee at any time with information relevant to the potential designation at a later stage of individuals and entities who may be engaging in the activities described in paragraphs 17 and 18 of the resolution;

(b) Gather, examine and analyse information from States, relevant United Nations bodies, regional organizations and other interested parties regarding the implementation of the measures decided in resolution 2140 (2014), in particular incidents of undermining the political transition;

(c) Provide to the Council, after discussion with the Committee, an update no later than 25 June 2014, an interim report by 25 September 2014, and a final report no later than 25 February 2015;

(d) Assist the Committee in refining and updating information on the list of individuals subject to measures imposed pursuant to paragraphs 11 and 15 of resolution 2140 (2014), including through the provision of identifying information and additional information for the publicly available narrative summary of reasons for listing.

Cooperation with other entities

20. In carrying out its mandate, in addition to seeking the cooperation and assistance of Member States, including the Government of Yemen, the Panel of Experts on Yemen is expected to seek the cooperation and assistance of international, regional and subregional organizations, such as the Gulf Cooperation Council and its Implementation Mechanism, the World Bank and the International Monetary Fund, through the Mutual Accountability Framework, the United Nations country team in Yemen, the Office of the Special Adviser to the Secretary-General on Yemen and the International Criminal Police Organization (INTERPOL), as well as other relevant sanctions monitoring teams, groups and panels, in particular the Analytical Support and Sanctions Monitoring Team established pursuant to Security

Council resolution 1526 (2004) concerning Al-Qaida and the Taliban and associated individuals and entities.

Planning assumptions for 2014

21. It is anticipated that the Panel will carry out its mandated activities, in particular by monitoring the implementation of the relevant measures specified in Security Council resolution 2140 (2014). The Panel will collect information on and monitor the implementation by States of the measures imposed by the Council. Subject to the security situation, the Panel is expected to conduct extensive field work and on-site investigation of reported alleged violations and make recommendations thereon. The Panel is also expected to submit to the Council an update, an interim report and a final report on its activities that would include specific recommendations.

22. The Panel will be home-based; it will be supported by a Political Affairs Officer (P-3) based in New York.

23. As a result of very high level security risks for the Panel during visits to Yemen, the Department of Security and Safety, following a security risk assessment conducted in March 2014, recommends the deployment of a fully dedicated team of close protection officers to Yemen. Within the context of this budget, it is proposed that a small full-time close protection team be established in Yemen to provide the dedicated security capacity to support the planning and coordination requirements of the Panel, to be supplemented either by close protection officers from the Office of the Special Adviser of the Secretary-General on Yemen, or with additional security officers deployed from other United Nations offices.

24. The objective, expected accomplishments, indicators of achievement and performance measures of the Panel are presented in table 3.

Table 3
Objective, expected accomplishments, indicators of achievement and performance measures

Objective: To ensure the full implementation of the sanctions measures contained in Security Council resolution 2140 (2014) pertaining to Yemen

Expected accomplishments	Indicators of achievement
(a) Enhanced capacity of the Security Council to take follow-up action on alleged violations	(a) (i) Number of official communications from the Committee to States and other entities on alleged violations cited by the Panel *Performance measures* Target 2014: 10 (ii) Number of bilateral meetings between the Chair of the Committee and concerned States and organizations to follow up on the Panel's reports *Performance measures* Target 2014: 7

Outputs

- Reports to the Security Council (2)
- Briefings to the Committee (3)
- Progress reports to the Committee (4)
- Investigation reports to the Committee on the violations or implementation of the Security Council's sanctions measures (2)

Expected accomplishments	Indicators of achievement
(b) Enhanced capacity of the Security Council to adjust the sanctions regime	(b) (i) Number of recommendations made by the Panel agreed upon by the Committee *Performance measures* Target 2014: 5 (ii) Number of recommendations made by the Panel incorporated by the Security Council in subsequent resolutions *Performance measures* Target 2014: 2

Outputs

- Recommendations to the Committee on actions aimed at promoting or modifying the sanctions regime (2)
- Recommendations concerning new individuals or entities to be listed (6)

Expected accomplishments	Indicators of achievement
(c) Improved compliance by States and other entities with the sanctions measures	(c) (i) Number of communications from States and other entities informing of compliance-related issues *Performance measures* Target 2014: 32 (ii) Number of communications from States and other entities seeking advice on ways to comply with the measures *Performance measures* Target 2014: 14

Outputs

- Communications from the Panel to States and entities requesting information relating to compliance with the sanctions measures (34)
- Investigations by the Panel of Experts into possible violations of the measures by States and other entities (6)

External factors

25. The objective would be achieved on the assumption that States comply with the resolutions of the Security Council and cooperate with the Panel of Experts and provided that the investigations of the Panel are not hindered.

Resource requirements (regular budget)

Table 4
Financial resources

(Thousands of United States dollars)

	Requirements for 2014		*Total requirements for 2013*	*Variance, 2013-2014*
Category	*Total* (1)	*Non-recurrent* (2)	(3)	(4)=(1)-(3)
Civilian personnel costs	576.5	–	–	576.5
Operational costs	1 870.9	343.5	–	1 870.9
Total	**2 447.4**	**343.5**	**–**	**2 447.4**

Table 5
Positions

	Professional and higher categories									*General Service and related categories*			*National staff*			
	USG	*ASG*	*D-2*	*D-1*	*P-5*	*P-4*	*P-3*	*P-2*	***Subtotal***	*Field Security Service*	*General Service*	***Total international***	*National Officer*	*Local level*	*United Nations Volunteers*	***Total***
Approved 2013	–	–	–	–	–	–	–	–	–	–	–	–	–	–	–	–
Proposed 2014	–	–	–	–	–	–	1	–	1	5	–	6	–	2	–	8
Change	–	–	–	–	–	–	1	–	1	5	–	6	–	2	–	8

26. It is proposed that a position of Political Affairs Officer (P-3) be created to provide substantive advice and support to the experts by conducting research; gathering, selecting and analysing information relevant to the work of the Panel; maintaining an up-to-date knowledge of events relating to political and military issues in the region of the Arabian Gulf; and serving as a focal point for the drafting of the reports of the Panel to the Security Council Committee.

27. The latest security risk assessment, dated 6 March 2014, carried out by the Department of Safety and Security recommends the deployment of a close protection team of 16 persons, comprised of 1 Close Protection Coordinator, 3 Close Protection Shift Leaders and 12 Close Protection Officers, to mitigate the very high level of risk for the Panel during their visits to Yemen. The team would provide dedicated close protection for the Panel members, as well as close protection planning, management and coordination with the Yemeni authorities. It is also recommended that the experts and close protection team travel in armoured vehicles while in Yemen.

28. The present report includes a proposal for the establishment of a small close protection team of seven persons comprising one Close Protection Shift Leader (1 Field Service) and four Close Protection Officers (4 Field Service) supported by two Drivers (2 Local level), based in Yemen, to provide the dedicated security capacity to support the planning and coordination requirements of the Panel. The close protection team of the Special Adviser of the Secretary-General on Yemen will supplement the Panel's close protection team whenever the Special Adviser is not also in Yemen. Where both the Special Adviser and members of the Panel are in Yemen at the same time, additional security officers will be deployed from other United Nations offices to provide additional support to the Panel's security detail. The Panel's close protection team will report to the Chief Security Officer in the Office of the Special Adviser of the Secretary-General on Yemen.

29. The estimated requirements for 2014 amount to $2,447,400 (net of staff assessment). That amount would provide for salaries and common staff costs for eight positions (1 P-3, 5 Field Service and 2 Local level) ($576,500); fees ($327,200) and official travel ($343,100) of the four members of the Panel; official travel of staff, including security officers from other United Nations offices ($343,300); acquisition of security equipment, rental of premises and security services ($346,100), purchase and rental of vehicles and related costs ($381,000), communications equipment and services ($59,900), information technology equipment and services ($23,800), and miscellaneous supplies and services ($46,500).

30. Pending the preparation of the present budget proposal, the initial requirements of the Panel of Experts on Yemen are being met through the commitment authority of the Secretary-General, in the amount of $311,900, in accordance with General Assembly resolution 68/249 on unforeseen and extraordinary expenses for the biennium 2014-2015, which will be restored following the decision of the Assembly on the present report.

Extrabudgetary resources

31. No extrabudgetary resources are projected for the Panel of Experts on Yemen for 2014.

II. Action requested of the General Assembly

32. **The General Assembly is requested:**

(a) **To take note of the present report;**

(b) **To approve the additional resources in the total amount of $3,940,500 net ($4,148,000 gross) for the Office of the Special Adviser of the Secretary-General on Yemen and for the Panel of Experts on Yemen;**

(c) **To approve a charge totalling $3,940,500 (net of staff assessment) against the provision for special political missions appropriated under section 3, Political affairs, of the programme budget for the biennium 2014-2015.**